Ministry of Justice

HM Prison & Probation Service

Policy name: The Person Escort Record (PER) Policy Framework

Reference: N/A

Re-issue Date: 28 November 2023   **Implementation Date**: 19 April 2021

Replaces the following documents (e.g. PSIs, PSOs, Custodial Service Specs) which are hereby cancelled: PSO 1025 Person Escort Record (PER)

Introduces amendments to the following documents: None

Action required by:

☐	HMPPS HQ	☒	Governors
☒	Public Sector Prisons	☐	Heads of Group
☒	Contracted Prisons	☐	Contract Managers in Probation Trusts
☐	National Probation Service	☐	Community Rehabilitation Companies (CRCs)
☐	HMPPS Rehabilitation Contract Services Team	☐	HMPPS-run Immigration Removal Centres (IRCs)
☐	Other providers of Probation and Community Services	☒	Under 18 Young Offender Institutions

Mandatory Actions: All groups referenced above must adhere to the Requirements section of this Policy Framework, which contains all mandatory actions.

For Information:

By the implementation date Governors[1] of Public Sector Prisons and Contracted Prisons must ensure that their local procedures do not contain the following:

Governors must ensure that any new local policies that they develop because of this Policy Framework are compliant with relevant legislation, including the Public-Sector Equality Duty (Equality Act, 2010).

How will this Policy Framework be audited or monitored?

Public Prisons

Prison Group Directors will monitor compliance in their prisons of the requirements set out within this framework.

Contracted Prisons

Monitoring of compliance will be through the standard contract management processes.

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[1] In this document the term Governor also applies to Directors of Contracted Prisons.

Quality assurance for both public and contracted prisons is provided by HMPPS' Operational and Systems Assurance Group.

Prisoner Escort and Custody Services

Schedule 14 of PECS Generation 4 Contract lays out governance arrangements

- Contract Mobilisation Board
- Contract Management Board
- Strategic Partnership Board
- Use of Force Board
- Welfare Board

Resource Impact:

Paper PER (HMPPS escorts)

The Person Escort Record (PER) was launched alongside the relevant Prison Service Order (PSO) in 2009 (PSO1025) and is now being formalised into a policy framework

The purpose of the (PER) is to capture and transfer information which in turn will helps to manage risk. It is not a risk assessment tool.

A review of the Person Escort Record (PER) document was commissioned in response to criticisms by Her Majesty's Chief Inspectorate of Prisons (HMIP), the Prisons and Probation Ombudsman and Coroners.

The redesign clarifies areas of risk and gives more opportunities for risk information to be transferred effectively but still requires knowledgeable users, with an understanding of the process and what information needs to be included.

The document allows for the changing nature of risk, ensuring that it is dynamic, with a red flag page to highlight changes in risk. A suicide and self-harm (SASH) warning form is included within the new booklet to enable effective information sharing on prisoners at risk of suicide or self-harm. There is a new health and social care page for health risks, social care needs, other vulnerabilities and details of medication.

Impacts

Given that this policy framework is only formalising work that is already carried out and covered by existing staff, there will be no change to benchmark staffing figures required as a result and no impact on staff resourcing.

Digital PER (PECS booked moves)

Start date: 02/05/2018 (first submission PBC to HMT) with contract go-live 29/08/2020

Initiative brief description/overview:

- In October 2019, following an in-depth negotiation period, the PECS Generation 4 contracts were awarded to GEOAmey (North Lot) and SERCO (South Lot), who offered the best overall bids in terms of service quality and cost.
- Where change is happening, it has been designed based on feedback from stakeholders and those working on the PECS Generation 3 contracts, who identified where pressure points were and the frustrations that those created to business delivery and prisoner safety. Specifications

have been discussed at length and agreed with key stakeholders at CEO level and relevant policy holders within HMPPS, to whom we continue to provide regular progress updates to.

- The core task for PECS remains the safe, secure, decent transport of prisoners and detainees; ensuring the right person is in the right place at the right time. Completing this in a manner that offers best value to the public purse, reduces the burden on staff time by (where appropriate) moving to digital rather than paper-based systems, and offers a flexible and responsive solution which can respond to further changes linked to the current prison and court reform change programmes.

What work has been carried out to assess impact on resources?

- EPER Impact Analysis (2016-2018) for Moving People Safely initiative (pre-cursor to PECS dPER)
- PECS Gen 4 Programme benefits realisation profiles (2018-2020)
- PECS Gen 4 Digital DPER user research (2019-2020)
- PECS Gen 4 Digital BaSM user feedback surveys (04/2020 onwards)
- PECS Gen 4 Business Change DPER pilot feedback (2019-2020)

What are the outcomes of the analysis and assessments carried out?

On cost benefit analysis work carried out for benefits profiles, it has been clarified that for establishments (Prison Reception or Police Custody Suites) the aim of the programme was not to make savings on staff numbers or staff expenditure, and as such was not a metric for consideration as an outcome. It has however been established through time and motion studies, user research and process analysis that time will be saved overall in a full year due to the following factors:

- Re-use of existing data
- Controlled data forms
- Quality of data entered
- Access to central data

As a result of the data it has been projected that although there will be savings in time as evidenced by the exercises listed above (evidenced in annexes) there will be no direct cashable savings available to stakeholders, but the digital PER will facilitate smarter working in the operational environments impacted.

In the final year of the generation 3 contract, over 600,000 moves were facilitated, which appears a considerable amount, but this is over several hundred establishments, 365 days a year. Therefore, savings cannot be determined in staff hours directly.

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Approved by OPS for publication: Sarah Coccia and Ian Barrow, Joint Chairs, Operational Policy Sub-board, February 2021

Revisions

Date	Changes
28/11/23	Additions of paras 4.17 – 4.19 and Annex I

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1. Purpose

1.1 This Policy Framework sets out mandatory instructions and guidance regarding completion of the Person Escort Record (PER).

1.4 The PER is a record which must be completed for all prisoners prior to **any** escorted external movement or transfer. It provides escort staff and receiving establishments with relevant information on a prisoner and highlights risks they may pose during and after the movement.

1.5 The PER is not itself a risk assessment. It conveys the information about the assessed risks to others who may need to know about them.

1.6 Before any escort commences an assessment needs to be made of the risks posed by the prisoner which may impact on how the escort should be carried out and the allocation of the prisoner to court, holding cells or prison cells. Any risks or vulnerabilities identified should be noted and acted upon by those receiving the prisoner.

1.7 PERs provide assurance that information about a prisoner on escort or transfer is available and that any identified risks/vulnerabilities, and any new risks that develop during a movement are communicated to those responsible for their custody.

1.8 Correct completion and storage of the PER will help to prevent suicide/self-harm, escapes, assaults, releases in error and other serious incidents. It will also ensure the accurate recording of prisoner's money and property and will aid investigations of prisoner allegations of mistreatment.

1.9 Correct use of the PER will ensure that all escorts are carried out decently, safely and securely, and are done so in a way that protects the welfare of all those being escorted.

2. Evidence

2.1 A review of the PER document was commissioned in response to criticisms by Her Majesty's Chief Inspectorate of Prisons, the Prisons and Probation Ombudsman and Coroners.

2.2 As a result of this, a new paper PER was published in 2019, which accounted for the recommendations of the reviews. It allows for the changing nature of risk during an escort, ensuring that it is dynamic, with a red flag page to highlight these changes. A suicide and self-harm (SASH) warning form is included within the new booklet to enable effective information sharing on prisoners at risk of suicide or self-harm. There is a new health and social care page for health risks, social care needs, other vulnerabilities and details of medication.

2.3 A thematic report published by Her Majesty's Inspectorate of Prisons (HMIP) recommended the investigation of an electronic PER following concerns around legibility and quality assurance. This resulted in the initiation of the Moving People Safely project, which developed the ePER and was piloted in 5 prisons (2017) and two police custody suites (2018).

2.4 A digital PER (dPER) has been developed for use by Prison Escort and Custody Services (PECS) in 2020 to respond to this recommendation and provide a PER that is easy to complete, clearer to read and open to quality control.

2.5 The Lay Observers 2019-2020 annual report raised concerns about the quality and completeness of PERs, specifically regarding medical information and required medications. The 2019 paper PER includes a new health and social care page, which provides space for any health information and details of any prescribed medication to be completed. The

guidance within the document itself explains the detail required, including listing any prescribed medication, and when this medication is required. The digital PER ensures that these sections are completed, before the PER is able to be confirmed and progressed.

2.6 Following the concerns raised by HMIP and Lay Observers, this policy framework sets out, in the requirements, guidance, and supporting documents, the information that must be provided in the PER in order to effectively protect the welfare of those being escorted. Furthermore, the policy framework states that responsible agencies must have a quality assurance process in place to assure the quality of the information that is provided, and that it effectively supports information sharing and the protection of the welfare of those being escorted.

3. <u>Outcomes</u>

3.1 Implementation of the policy will ensure the following:

- Escort staff and receiving agencies will be equipped with information, particularly risk information, relating to a prisoner prior to and during the escort procedure.
- All relevant information regarding risk is commented on fully within the PER and shared appropriately to ensure each prisoner receives the appropriate care.
- All prisoners are treated with dignity and respect, with the diverse needs of those with protected characteristics taken into consideration, and amendments made to support those characteristics where necessary.
- There will be full staff accountability both for the completion of the PER and for actions taken during the escort.
- The PER will be for multi-agency use to ensure consistency on a national level.
- Provision of an improved and accessible record of PERs where the digital PER (dPER) will be used.
- Increased staff confidence in their ability to complete the PER and communicate relevant risk information to necessary agencies.
- Escorts are conducted safely and securely for both prisoners and staff.

4. <u>Types of PER</u>

4.1 In order to be compliant with this policy framework, the correct PER must be used in each instance.

Paper PER

4.2 The paper PER is for use by HMPPS staff only.

4.3 There are three types of paper PER:

- Generic PER
- Cat A/ Restricted Status PER (red stripe on the front)
- E-List PER (yellow stripe on the front)

4.4 Staff must ensure that the appropriate PER is used for each prisoner.

4.5 Paper PERs must be used for all transfers of Category A and Restricted Status prisoners.

Please see the detailed guidance for the paper PER document and Annex A for further information**.**

Digital PER (dPER)

4.6   The Digital PER is for use on PECS booked moves only.

4.7   The digital PER must not be used for Category A or Restricted Status prisoners. Transfers of these prisoners must use the specified paper PER document.

4.8   When completing the digital PER, all sections and protected fields must be completed. Please see Annex B for further information.

4.9   The following sections of the PER are to be completed digitally on the Book a Secure Move (BaSM) platform:

- Risk information
- Offence information
- Health information
- Property information
- Handover

4.10   Any information that needs to be recorded during the escort with the PECS supplier shall be completed using a handheld device, due to the live and changing nature of the information. The information completed on the handheld device during the escort will be uploaded to the database using a Wi-Fi or 4G link. This database has a secure link to the BaSM dashboard and the information will be updated in 'near real' time once it has been saved on the hand-held device.

4.11   Any 'red flag' or medical incidents that occur during the escort will be clearly flagged to the receiving destination via the BaSM dashboard, where staff will be able to view the type of incident and the incident notes.

4.12   Paper PERs must be kept in escort vehicles and used to update events and any incident information in case a situation should arise where hand-held devices are unavailable.

4.13   Staff must ensure that any information recorded on a paper PER is handed over to the receiving body.

4.14   Handheld devices will remain on the escort officer at all times. These devices have been given central authorisation by the Security Order and Counter Terrorism Directorate (SOCT) to be taken into prison receptions by the escort officer.

4.15   These devices can only be accessed by a secure login and do not have voice capabilities, access to cameras, or any other applications.

4.16   Please see Annex B for further information on completing the digital sections on the BaSM dashboard, Annex C for an example of the BaSM section of the digital PER and the detailed guidance on the digital PER for more information.

<u>Management of Prison Recalls that don't include standard Police Custody processes.</u>

4.17   When a prisoner is arrested by police on recall, there are some instances where they may be returned to prison custody without having been processed through a police station. An example of this is where a prisoner may be taken straight to hospital upon arrest and then handed into prison custody while at the hospital. In situations such as this, a PER must still be completed using the following process:

- The arresting police officer responsible for the prisoner must liaise with police custody via live-link and/or phone and give them all available information concerning the prisoner.
- Police custody staff must then use this information, along with any information from the police Niche Records Management System, Police National Computer (PNC), and the most recent dPER on BaSM, to complete the paper PER, via an electronic template.
- Police custody staff must contact the nearest local prison to request they take over the bed watch or accept the prisoner and obtain the email address of the manager (typically Oscar 1, Duty Governor) whom they are liaising with.
- Police custody staff will provide the completed PER via email to the respective manager, (typically Oscar 1, Duty Governor) whom they have liaised with.
- Once a copy of the PER is received by the prison, it must be printed and provided to the prison officers assigned to take over the bed watch or those responsible for accepting handover of the prisoner at the prison.
- It is the responsibility of the police officer(s) supervising the prisoner, to ensure that any new risks observed since the PER was completed are brought to the attention of prison staff when they arrive to take over the bed watch, or on arrival at the prison establishment, and a verbal update on the prisoner is given to prison staff.

4.18   Prison staff must not accept the bed watch handover or the prisoner, without a completed PER.

4.19   The electronic copy of the paper PER for this purpose can be found under Annex I

5.   Requirements

5.1   Governors and Prison Escort and Custody Services (PECS) must ensure that all staff who assess the risks and vulnerabilities of prisoners, who complete or come into contact with PERs, and who are responsible for the escort of prisoners, are aware of the contents of this Policy Framework and have access to the relevant guidance and supporting documents to assist with the accurate completion of PERs.

5.2   The correct and relevant PER must be completed, by a competent staff member, for every escorted external movement of a prisoner, whether responsibility transfers to another prison, agency (i.e. court, police, or hospital) or other destination. The information provided on a PER should be clear and without the use of acronyms or abbreviations. Our partner agencies must be able to clearly understand the information being shared.

5.3   Staff must ensure that any information entered into a paper PER is recorded onto NOMIS. This information can then be automatically reflected on the digital PER for PECS booked moves.

5.4   A member of staff designated to dispatch a prisoner must ensure that:

- The correct PER has been fully completed for every prisoner going on an escorted external movement to any destination
- All sections of the PER have been completed by the relevant departments (for example Security, Healthcare)
- All signature boxes have been completed in a legible manner
- If risks have been identified, supporting information has been provided for the escort.
- The dispatching member of staff must confirm that the correct prisoner is being dispatched. Their name and signature should be entered on the PER as confirmation and a photograph attached to the PER, if available.
- Dispatching staff must identify any other risks and complete the PER in accordance with guidance provided alongside the policy framework. Any information from a PER from escorts completed previously, must be taken into consideration.
- If a prisoner is Category A, Restricted Status or is on the E-List, the appropriate PER is used. (Please see guidance and Annex A for further details).
- If one or more of the risk sections for 'Violence', 'Conceals Weapons', 'Escape', 'Hostage taker' or 'Stalker/Harasser' have been completed, staff must consider whether an application to court for improving security arrangements should be completed in line with PSI 26/2015 Security of Prisoners at Court and PSI 33/2015 External Escorts. For Category A prisoners, this should be done in line with PSI 09/2013 Management and Security of Category A Prisoners- External Movement.
- A full briefing to escorting staff is completed, highlighting the individual risks that the escorted person poses including medical and social care issues, as well as any information about pregnancy or maternity issues where relevant.
- Any prescribed medication details (including painkillers such as Paracetamol and Ibuprofen) and relevant medical information is included.
- That all information is correct as close as reasonably possible to the time when the prisoner is to depart on escort. If a PER has been completed ahead of time, the medical and risk information should be checked, to ensure it is up to date at the time of departure.

5.5   If healthcare staff decide that a prisoner not fitted to travel, they must not complete the medical section of the PER, and the move must be cancelled.

5.6   When using the paper PER, the dispatching staff must keep the bottom carbonated copy of each section of the PER, retaining it in reception, whilst the white top copy should always accompany the prisoner.

5.7   The PERs must be completed before the commencement of any prisoner movement except where it is not possible to do so, because a prisoner is moved to hospital in an emergency situation by ambulance. Under these circumstances, the PER must be completed retrospectively as soon as possible and the relevant copies must be delivered to the escorting officer/staff as soon as possible where a paper PER is being used

5.8   The PERs may carry specific information about the risk prisoners convicted or remanded into custody might pose to victims or witnesses (e.g. under the Protection from Harassment Act 1997 and any other related Acts). This information must be brought to the attention of the prison's security staff as soon as is reasonably possible so that appropriate monitoring arrangements can be put into place. In these situations, prisoners must be prevented, as far as is reasonably practicable, from making unauthorised contact with their victims and from continuing any harassment. For further information please see PSI 46/2011 Tackling Witness Intimidation by Remand Prisoners.

5.9   On completion of the movement the prisoner will usually be handed into prison custody. The prisoner's personal property will also be handed over to the receiving establishment. After checking all details entered onto the PER the receiving officer must complete the "record of handover" entering the relevant details and completing their name, ID and signature. Where a digital PER is being used, a physical signature is not required, as the use of the staff login will record this information. Escorting staff should not assume that, even if the prisoner is returning to the prison at which the movement started, the prison staff on reception know the prisoner or are aware of the risks and vulnerabilities. Any immediate risks must be drawn to the attention of the reception staff and the relevant "risk changed" sections completed together with specific comments on the record of events section.

5.10   It is the responsibility of Governors/Directors and escort contractors to ensure that they maintain adequate stocks of and access to the PER. If the digital PER is unavailable due to technical or access issues, a paper PER must be used. Please see Annex B for further information**.**

5.11   If a situation should arise where there is no paper PER available when a person is to be dispatched, the dispatching officer must ensure that, as a contingency, all personal details and any risks are communicated in writing to the escort. Healthcare staff must also be given the opportunity to add comments, and reception staff must ensure that all property details are shown, together with the dispatching and receiving officer's name's and signature's. A record of events must also be maintained with any relevant change in risk during the escort highlighted and passed on to the receiving agency. Where there is no access to the digital PER, establishments and escorting staff should revert to the paper PER as a contingency.

5.12   Establishments must have an effective quality assurance process in place. Establishments should agree their own dynamic level of assurance locally, responding to the outcomes as appropriate. For more information please see section 5 in the detailed guidance for the digital PER and section 7 in the detailed guidance for the paper PER documents.

5.13   All staff involved in dispatching and escorting prisoners must ensure that any specific needs of prisoners with protected characteristics are met, and that any adjustments are made where

necessary to keep prisoners safe and secure. This may include pregnant women or those with disabilities.

6.   Supporting Documents

6.1   For further information, please see the following documents:

- Detailed guidance – Paper PER for use by HMPPS
- Detailed guidance – Digital PER for use with PECS booked moves only.
- Annex A – Paper Person Escort Record User Guide. **Paper PER only**
- Annex B – Book a Secure Move- Prison User Guide. Digital PER only
- Annex C – Example of completed BaSM section of the DPER. **Digital PER only.**
- Annex D – PER completion flowchart for prison and healthcare workers. **Digital PER only.**
- Annex E – dPER FAQ's for prisons **Digital PER only.**
- Annex F – Book a Secure Move- Healthcare user guide. Digital PER only.
- Annex G – dPER FAQ's for healthcare. Digital PER only.
- Annex H – Book a Secure Move- Young Offender Institutes user guide. **Digital PERonly.**
- Annex I **–** Electronic copy of the **paper PER**